

DECLARATION FOR UTILITY PATENT APPLICATION

AS A BELOW-NAMED INVENTOR(S), I HEREBY DECLARE THAT:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor, if only one name is listed below, or a joint inventor if plural inventors are named below, of the subject matter which is claimed and for which a patent is sought on the invention entitled:

SUBSTRATE PROCESSING METHOD AND APPARATUS

the specification of which is attached hereto unless the following box is checked:

☒ was filed on July 28, 2000 as United States Application Serial No. 09/628,235 or PCT International Application No. _____ and was amended on _____ (if applicable).

I HEREBY STATE THAT I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing (day/month/year)	Priority Claimed?
1999-216675	Japan	30/July/1999	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
1999-323869	Japan	15/Nov./1999	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
1999-354800	Japan	14/Dec./1999	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2000-000982	Japan	06/Jan./2000	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2000-015816	Japan	25/Jan./2000	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2000-119249	Japan	20/Apr./2000	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status
		<input type="checkbox"/> Patented <input type="checkbox"/> Pending <input type="checkbox"/> Abandoned

I hereby appoint the following attorneys and agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Laurie A. Axford (Reg No. 35,053)	Sanjay S. Bagade (Reg No. 42,280)
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Shantanu Basu (Reg No. 43,318)	Richard R. Batt (Reg No. 43,485)
Frank P. Becking (Reg No. 42,309)	Vincent J. Belusko (Reg No. 30,820)
Kimberly A. Bolin (Reg No. 44,546)	Timothy J. Bortree (Reg No. 43,506)
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William C. Revelos (Reg No. 42,101)	Paul J. Riley (Reg No. 38,596)
Robert Saltzberg (Reg No. 36,910)	Debra A. Shetka (Reg No. 33,309)
Terri Shieh-Newton (Reg No. P-47,081)	Rebecca Shortle (Reg No. P47,083)
Kevin R. Spivak (Reg No. 43,148)	Stanley H. Thompson (Reg. No. 45,160)
E. Thomas Wheelock (Reg No. 28,825)	David T. Yang (Reg. No. 44,415)
Todd W. Wight (Reg No. 45,218)	Thomas G. Wiseman (Reg No. 35,046)
Frank Wu (Reg No. 41,386)	George C. Yu (Reg No. 44,418)
Karen R. Zachow (Reg No. P-46,332)	

and:

Please direct all communications to:

David L. Fehrman
Morrison & Foerster LLP
555 West Fifth Street, Suite 3500
Los Angeles, California 90013-1024

Please direct all telephone calls to David L. Fehrman at 213-892-5601.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Kumamoto-Ken, Japan

02-15-2001

DEPARTMENT OF COMMERCE

RECOR

Patent and Trademark Office
Docket No. 19937-2002500

101615192

2.1.01

To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
Takayuki TOSHIMA, Kinya UENO, Miyako YAMASAKA,
Hideyuki TSUTSUMI, Tadashi IINO, Yuji KAMIKAWA

- ☒ Individual(s) ☐ Association
☐ General Partnership ☐ Limited Partnership
☐ Corporation-State ☐ Other

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: TOKYO ELECTRON LIMITED
Internal Address:
Street Address: 3-6, Akasaka 5-chome, Minato-ku
City: Tokyo-to, Country: JapanAdditional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: December 12, 2000

4. Application number(s) or patent number(s): 09/628,235, filed July 28, 2000

If this document is being filed together with a new application, the execution date of the application is:*

A. Patent Application No.(s)
09/628,235, filed July 28, 2000B. Patent No.(s)
*Additional numbers attached? *☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

David L. Fehrman
Morrison & Foerster LLP
555 West Fifth Street
Suite 3500
Los Angeles, California 90013-1024

6. Total number of applications and patents involved: *

7. Total fee (37 C.F.R. § 3.41): \$40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account, referencing
Attorney Docket 19937-20025.00

8. Deposit account number: 03-1952The Commissioner is hereby authorized to charge any fees under 37 C.F.R. § 1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 03-1952.**DO NOT USE THIS SPACE**

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Name: David L. Fehrman
Registration No: 28,600

Signature

Date

Total number of pages comprising cover sheet, attachments and document: 4

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40.00 00

Mail documents to be recorded with required cover sheet information to:

U.S. Patent and Trademark Office
Office of Public Records
Box Assignments
Crystal Gateway 4, Room 335
Washington, D.C. 20231

la-456278

ASSIGNMENT

THIS ASSIGNMENT, by [Inventor(s)]

Takayuki TOSHIMA

Hideyuki TSUTSUMI

Kinya UENO

Tadashi IINO

Miyako YAMASAKA

Yuki KAMIKAWA

(hereinafter referred to as the assignors), WHEREAS, said assignors have invented certain new and useful improvements in [title of invention]

SUBSTRATE PROCESSING METHOD AND APPARATUS

set forth in an application for Letters Patent of the United States, having an oath or declaration executed on even date herewith; bearing Serial No. 09/628,235 and filed on July 28, 2000 and

WHEREAS, TOKYO ELECTRON LIMITED, a corporation duly organized under and pursuant to the laws of [state of incorporation] Japan and having its principal place of business at [address]:

3-6, Akasaka 5-Chome, Minato-Ku, Tokyo-To, Japan
(hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

The Undersigned hereby grant(s)

Laurie A. Axford (Reg No. 35,053)	Sanjay S. Bagade (Reg No. 42,280)
Joseph Barrera (Reg No. 44,522)	Erwin J. Basinski (Reg No. 34,773)
Shantanu Basu (Reg No. 43,318)	Richard R. Batt (Reg No. 43,485)
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Robert Saltzberg (Reg No. 36,910)	Debra A. Shetka (Reg No. 33,309)
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Todd W. Wight (Reg No. 45,218)	Thomas G. Wiseman (Reg No. 35,046)
Frank Wu (Reg No. 41,386)	George C. Yu (Reg No. 44,418)
Karen R. Zachow (Reg No. P-46,332)	

the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

Dec. 12, 2000

Date

Takayuki TOSHIMA
Signature of Inventor Takayuki TOSHIMA

Dec. 12, 2000

Date

Kinya UENO
Signature of Inventor Kinya UENO

Dec. 12, 2000

Date

Miyako YAMASAKA
Signature of Inventor Miyako YAMASAKA

Dec. 12, 2000

Date

Hideyuki TSUTSUMI
Signature of Inventor Hideyuki TSUTSUMI

Dec. 12, 2000

Date

Tadashi IINO
Signature of Inventor Tadashi IINO

Dec. 12, 2000

Date

Yuji KAMIKAWA
Signature of Inventor Yuji KAMIKAWA



UNITED STATES DEPARTMENT OF COMMERCE
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APRIL 26, 2001

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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/01/2001

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BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

TOSHIMA, TAKAYUKI

DOC DATE: 12/12/2000

ASSIGNOR:

UENO, KINYA

DOC DATE: 12/12/2000

ASSIGNOR:

YAMASAKA, MIYAKO

DOC DATE: 12/12/2000

ASSIGNOR:

TSUTSUMI, HIDEYUKI

DOC DATE: 12/12/2000

ASSIGNOR:

IINO, TADASHI

DOC DATE: 12/12/2000

ASSIGNOR:

KAMIKAWA, YUJI

DOC DATE: 12/12/2000

ASSIGNEE:

TOKYO ELECTRON LIMITED
3-6, AKASAKA 5-CHOME, MINATO-KU
TOKYO-TO, JAPAN

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LOS ANGELES**

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SERIAL NUMBER: 09628235
PATENT NUMBER:

FILING DATE: 07/28/2000
ISSUE DATE:

LAZENA MARTIN, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS